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**UNITED STATES DISTRICT COURT  
NORTHERN DISTRICT OF CALIFORNIA  
SAN FRANCISCO DIVISION**

SECURITIES AND EXCHANGE COMMISSION,  
Plaintiff,  
v.  
WILLIAM K. ICHIOKA,  
Defendant.

Case No. 3:23-cv-03093-VC  
Joint Status Report  
Case Management Conference  
Date: December 6, 2024  
Time: 10:00 a.m.  
Courtroom: 4, 17<sup>th</sup> Floor  
(via videoconference)  
Judge: Hon. Vince Chhabria

Pursuant to the Court’s Order of September 6, 2024 (ECF No. 37), Plaintiff Securities and Exchange Commission (“SEC”) and Defendant William Ichioka (“Defendant”) (together, “the Parties”) hereby submit the following joint status report in anticipation of the case management conference on December 6, 2024.

The SEC filed a complaint in this civil matter on June 22, 2023, together with a partial resolution of the matter in a Consent and [Proposed] Judgment for the Court’s approval. ECF Nos. 4-1 and 4. Following the August 4, 2023 Case Management Conference, the Court entered the

1 Judgment on August 14, 2023. ECF No. 15. The Judgment ordered certain injunctive relief, but  
 2 deferred the Court's determination of the amount of disgorgement, prejudgment interest, and civil  
 3 monetary penalties pending a later motion by the SEC.

4 The SEC staff and Defendant have reached an agreement in principle which would fully  
 5 resolve this case. The SEC staff has begun the process of seeking approval of the settlement terms  
 6 from the SEC Commissioners. The SEC staff anticipates that the proposed settlement will be  
 7 presented to the Court for review and approval in January 2025. If the settlement documents have not  
 8 yet been submitted to the Court by January 31, 2025, the parties will file another status report on that  
 9 date.

10 The parties request that the case management conference currently schedule for December 6,  
 11 2024, be continued to February 6, 2025, at 10:00 am, or another date and time that is convenient to  
 12 the Court.

13  
 14 Respectfully submitted,

15  
 16 Dated: November 21, 2024

17 /s/ John K. Han

18 John K. Han  
 19 Erin E. Wilk  
 20 Securities and Exchange Commission  
 44 Montgomery Street, Suite 700  
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 Attorneys for Plaintiff  
 Securities and Exchange Commission

21 /s/ Sophie M. Kosmacher /jkh with permission)

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